



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: LAWRENCE et al.

Application No.: 09/812,627

Filing Date: March 20, 2001

For: AUTOMATED GLOBAL RISK
MANAGEMENT

)
) Group Art Unit: 3624
)
) Examiner: Subramanian, Narayanswamy
)
) **INFORMATION DISCLOSURE**
) **STATEMENT**
)
) Attorney Docket No.: G08.124
)
) **PTO Customer Number 28062**
) Buckley, Maschoff & Talwalkar LLC
) Five Elm Street
) New Canaan, CT 06840
)
)

CERTIFICATE OF MAILING UNDER 37 CFR 1.8

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Mail Stop Amendment, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on February 15, 2006.

Dated: February 15, 2006 By:

Randolph P. Calhoun

Mail Stop Amendment
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

This Information Disclosure Statement is submitted:

- ☒ under 37 CFR 1.97(b);
(within 3 months of filing national application; or date of entry of international application; or before mailing date of first office action on the merits; whichever occurs last)
- ☒ under 37 CFR 1.97(c) together with either a:
☐ Statement under 37 CFR 1.97(e), or
☒ \$180 fee under 37 CFR 17(p); or

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(after 37 CFR 1.97(b) time period, but before final action or notice of allowance, whichever occurs first)

- ☐ under 37 CFR 1.97(d) together with a:
- ☐ Statement under 37 CFR 1.97(e),
 - ☐ Petition under 37 CFR 1.97(d)(2)(ii), and
 - ☐ \$ _ petition fee under 37 CFR 17(i).
- (after 37 CFR 1.97(c) time period, but before payment of issue fee)


Applicants submit herewith patents, publications or other information of which they are aware that they believe may be material to the examination of this application, and in respect of which, there may be a duty to disclose.

The filing of this information disclosure statement shall not be construed as a representation that a thorough search has been made, an admission that the information cited is, or is considered to be, material to patentability, or that no other material information exists. Nor shall the filing of this information disclosure statement be construed as an admission against interest in any manner.

This Information Disclosure Statement is filed in accordance with 37 CFR §§1.56, 1.97 and 1.98. The items listed on the accompanying Form PTO-1449 may be deemed to be pertinent to the above-identified application and are made of record to assist the Patent and Trademark Office in its examination of this application. The Examiner is respectfully requested to fully consider the items listed on the enclosed copy of Form PTO-1449 and to independently ascertain their teaching.

Respectfully submitted,

February 15, 2006
Date


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Substitute for form 1449A/PTO

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(use as many sheets as necessary)

Sheet

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Complete if Known

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First Named Inventor	LAWRENCE, David
Group Art Unit	3624
Examiner Name	Subramanian, Narayanswamy
Attorney Docket Number	G08.124

U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code ² (if known)			
		6,021,397		Jones et al.	02/01/00	
		6,347,307		Sandhu et al.	02/12/02	
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		6,078,904		Rebane	06/20/00	
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		Office ³	Number ⁴	Kind Code ⁵ (if known)				
		JP	020000020618	A	Yamazaki et al.	01/21/00		
		WO	00/75836	A2	Coppola	12/14/00		
		WO	01/55885	A2	Mancini et al.	08/02/01		
		JP	02000020618	A		06/30/98		
		EP	1 137 209		Stetzler	09/26/01		
		EP	1 143 365		Bader et al.	10/01/01		
		JP	0200350896	A		08/08/01		

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Substitute for form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(use as many sheets as necessary)</i>				Complete if Known	
				Application Number	09/812,627
				Filing Date	March 20, 2001
				First Named Inventor	LAWRENCE, David
				Group Art Unit	3624
				Examiner Name	Subramanian, Narayanswamy
Sheet	2	of	7	Attorney Docket Number	G08.124

OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
		Co-Pending U.S. Patent Application Serial No. 09/772,427, Applicant Lawrence, filed 01/30/01. Applicant would be pleased to supply a copy of the application to the examiner upon request.	
		Co-Pending U.S. Patent Application Serial No. 09/812,628, Applicant Lawrence, filed 03/20/01. Applicant would be pleased to supply a copy of the application to the examiner upon request.	
		Co-Pending U.S. Patent Application Serial No. 09/825,470, Applicant Lawrence, filed 04/02/01. Applicant would be pleased to supply a copy of the application to the examiner upon request.	
		Co-Pending U.S. Patent Application Serial No. 09/919,413, Applicant Lawrence, filed 07/31/01. Applicant would be pleased to supply a copy of the application to the examiner upon request.	
		Co-Pending U.S. Patent Application Serial No. 09/974,212, Applicant Lawrence, filed 10/09/01. Applicant would be pleased to supply a copy of the application to the examiner upon request.	

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		Number	Kind Code ² (if known)			
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		6,205,433		Boesch et al.	03/20/01	
		5,878,400		Carter, III	03/02/99	
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		4,774,664		Campbell et al.	09/27/88	
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		2003/0074272	A1	Knegendorf et al.	4/17/03	
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		5,274,547		Zoffel et al.	12/28/93	

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